

## Deceased Estate – Solicitor Checklist (Page 1 of 2)

### Section 1. Bereavement Particulars

|      |   |                      |                                     |
|------|---|----------------------|-------------------------------------|
| #    | <b>1a. Particulars of the deceased</b>  |                      | <input checked="" type="checkbox"/> |
| 1.1  | Name of the deceased  | <input type="text"/> | <input type="checkbox"/>            |
| 1.2  | Share company name(s)   | <input type="text"/> | <input type="checkbox"/>            |
| 1.3  | Registered address  | <input type="text"/> | <input type="checkbox"/>            |
| 1.4  | Post Code   | <input type="text"/> | <input type="checkbox"/>            |
| #    | <b>1b. Solicitor particulars</b>  |                      | <input checked="" type="checkbox"/> |
| 1.5  | Firm name   | <input type="text"/> | <input type="checkbox"/>            |
| 1.6  | Postal address  | <input type="text"/> | <input type="checkbox"/>            |
| 1.7  | Post code   | <input type="text"/> | <input type="checkbox"/>            |
| 1.8  | Primary contact name  | <input type="text"/> | <input type="checkbox"/>            |
| 1.9  | Mobile phone number   | <input type="text"/> | <input type="checkbox"/>            |
| 1.10 | Alternate phone (optional)  | <input type="text"/> | <input type="checkbox"/>            |
| 1.11 | Email address   | <input type="text"/> | <input type="checkbox"/>            |
| 1.12 | <b>Dividend Payment Mandate</b><br>Please provide a copy of the <a href="#">Request for Payment of Interest or Dividends Form</a> if you wish to authorise payment of dividends to your firm's trust account while the estate is in the process of resolution |                      | <input type="checkbox"/>            |

### Section 2. Registration of Supporting Documentation – Small Estates Service

|     |  |  |                          |
|-----|--|--|--------------------------|
| #   | <b>2. Small Estates Service</b>  |  | <input type="checkbox"/> |
| 2.1 | <b>Declaration of Eligibility</b><br>Please confirm that all the below criteria to use the Small Estates Service have been met:<br>a) The total market value of each shareholding is less than £30,000 at the date of death <sup>1</sup><br>b) You are acting on behalf of the next of kin, or Executor named in the Will<br>c) A Grant of Representation has not been issued with respect to the Estate<br>d) No inheritance Tax is payable |  | <input type="checkbox"/> |
| 2.2 | <b>Small Estates Declaration &amp; Indemnity Forms</b><br>Please provide a completed copy of the <a href="#">UK Small Estate Form</a> and/or the <a href="#">Offshore Small Estates Form</a>   |  | <input type="checkbox"/> |
| 2.3 | <b>Death Certificate</b><br>Please provide a copy of the original or official copy of the death certificate or coroner's interim certificate (we will send this back by post within 5 days of receipt)   |  | <input type="checkbox"/> |

1) To confirm the total market value of each shareholding visit [www.londonstockexchange.com](http://www.londonstockexchange.com) to find the closing price at the date of death and multiply this by the number of shares held

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### Section 3. Registration of Supporting Documentation – Grant of Representation

|   |  |                          |
|---|--|--------------------------|
| #   | <b>3. Large estate (value ≥ £30,000) or small estate where Grant of Representation has been issued</b>   | <input type="checkbox"/> |
| 3.1   | <b>Grant of representation issued in England, Wales or Northern Ireland (if applicable)</b><br>Please provide an original or sealed office copy of one of the following:   |                          |
| 3.1(a)  | Grant of probate – if there is a will  | <input type="checkbox"/> |
| or  |  |                          |
| 3.1(b)  | Letters of administration – if there is no will  | <input type="checkbox"/> |
| 3.2   | <b>Scottish Confirmation (if applicable)</b><br>Please provide an original or sealed office copy of the Confirmation issued by the Sheriff Court   | <input type="checkbox"/> |
| 3.3   | <b>Grant of Representation issued in Jersey, Guernsey or Isle of Man (if applicable)</b><br>Please provide an original or sealed copy if the estate value in the relevant country exceeds £30,000  | <input type="checkbox"/> |
| 3.4   | <b>Grant of Representation issued in another country (if applicable)</b><br>Please provide a copy of the grant if it can be resealed in a UK court under the <a href="#">Colonial Probates Act 1892</a> (if the country the grant was issued in is not covered by this Act, please provide grant issued in the UK or refer to our small estates service) | <input type="checkbox"/> |
| <p><b>Note:</b> Shares held in a Jersey, Guernsey or Isle of Man company can alternatively be administered through the <a href="#">Offshore Small Estates</a> form provided the value of the estate in the relevant country does not exceed £30,000</p> |  |                          |

### Section 4. Shareholding Instructions

|   |   |                          |
|---|---|--------------------------|
| #   | <b>4a. Instruction to transfer shares</b>   | <input type="checkbox"/> |
| 4.1   | <b>Stock Transfer Form</b><br>Please provide a completed copy of the <a href="#">Stock Transfer Form</a> with respect to any shareholding you wish to transfer into the name of a beneficiary   | <input type="checkbox"/> |
| <p><b>Note:</b> If the late shareholder held their shares electronically in our nominee service, this means no share certificate was issued. To transfer the shares, you will need to complete a nominee transfer form and return it to us at our address (you can request a form by emailing us at <a href="mailto:Nominee.Enquiries@cm.mpms.mufg.com">Nominee.Enquiries@cm.mpms.mufg.com</a>).</p>  |   |                          |
| #   | <b>4b. Instruction to sell shares</b>   | <input type="checkbox"/> |
| 4.2   | <b>Original Share Certificates</b><br>Please provide a copy of all original share certificates currently held in the possession of the estate (if you are unable to provide any certificates, please leave this box blank)                        | <input type="checkbox"/> |
| 4.3   | <b>Letter of Authority</b><br>If your firm has not been appointed as the sole executor, please provide a <a href="#">Letter of Authority Form</a> to ensure that the authority to transact shares is registered – otherwise a sale cannot proceed | <input type="checkbox"/> |
| 4.4   | <b>Postal Dealing Form</b><br>To issue a standing instruction to sell shares once other supporting documents have been registered, please provide a completed copy of the <a href="#">Postal Share Dealing Sale Form</a>                          | <input type="checkbox"/> |
| <p><b>Note:</b> It is also possible to deal shares online or by phone. For more information on our other Dealing services please visit <a href="http://dealing.cm.mpms.mufg.com">dealing.cm.mpms.mufg.com</a>. If the holding is small and dealing costs make it uneconomical to sell, then it may be preferable to donate the shareholding to charity. This instruction can be provided via the <a href="#">ShareGift Transfer Form</a>.</p> |   |                          |